

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: January 5, 2004

ATTY DOCKET NO.  
2003-1770SERIAL NO.  
NEWAPPLICANT  
Kunihiko SAKURAI et al.FILING DATE  
January 5, 2004

GROUP

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE    | NAME            | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|---------|-----------------|-------|----------|-------------------------------|
| AO                   | AA | 6,062,954          | 5/2000  | Izumi           | —     | —        |                               |
|                      | AB | 6,156,124          | 12/2000 | Tobin           | —     | —        |                               |
|                      | AC | 5,897,426          | 4/1999  | Somekh          | —     | —        |                               |
|                      | AD | 6,036,582          | 3/2000  | Aizawa et al.   | —     | —        |                               |
|                      | AE | 6,180,020          | 1/2001  | Moriyama et al. | —     | —        |                               |
|                      | AF | 5,655,954          | 8/1997  | Oishi et al.    | —     | —        |                               |
|                      | AG | 5,893,795          | 4/1999  | Perlov et al.   | —     | —        |                               |
|                      | AH | 5,830,045          | 11/1998 | Togawa et al.   | —     | —        |                               |
| AO                   | AI | 5,738,574          | 4/1998  | Tolles et al.   | —     | —        |                               |

## FOREIGN PATENT DOCUMENTS

|    |    | DOCUMENT<br>NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |
|----|----|--------------------|---------|---------|-------|----------|-----------------------|
| AO | AJ | 9-232257           | 9/1997  | JP      | —     | —        |                       |
|    | AK | 97/10613           | 3/1997  | WO      | —     | —        |                       |
|    | AL | 5-285807           | 11/1993 | JP      | —     | —        |                       |
| P  | AM | 197634             | 4/1908  | Germany | —     | —        |                       |
| AO | AN | 96/36459           | 11/1996 | WO      | —     | —        |                       |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|    |    |   |
|----|----|---|
| AO | AO | U.S. Patent Application No. 09/301,718, filed April 4, 1999, entitled "Method and Apparatus For Polishing Workpiece", by Noburu SHIMIZU et al., located in Group Art Unit 3723.   |
| AO | AP | Kaitoh Tei et al., "Planarization of Device Wafer with Fixed Abrasive Particles (Second Report)" - - Planarization Working Characteristics with Fine Silica Grindstone - -, from the Japan Society for Precision Engineering. |
| AO | AQ | U.S. Patent Application No. 09/663,417, filed September 15, 2000, entitled "Polishing Apparatus", by Kunihiko SAKURAI et al., located in Group Art Unit 3723.   |

EXAMINER

Anthony Opini

DATE CONSIDERED

5/11/04

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

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| FORM PTO 1449 (modified)<br><br>U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br>LIST OF REFERENCES CITED BY APPLICANT(S)<br>(Use several sheets if necessary)<br><br>Date Submitted to PTO: January 5, 2004 |  |  |  | ATTY DOCKET NO.<br>2003-1770         |  | SERIAL NO.<br>NEW |  |
|   |  |  |  | APPLICANT<br>Kunihiko SAKURAI et al. |  |                   |  |
|   |  |  |  | FILING DATE<br>January 5, 2004       |  | GROUP             |  |

  

| U.S. PATENT DOCUMENTS |    |                    |         |                  |       |          |                               |
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| *EXAMINER<br>INITIAL  |    | DOCUMENT<br>NUMBER | DATE    | NAME             | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
| <i>AO</i><br>↓        | AA | 5,679,059          | 10/1997 | Nishi et al.     | —     | —        |                               |
|                       | AB | 4,141,180          | 2/1979  | Gill, Jr. et al. | —     | —        |                               |
|                       | AG | 5,827,110          | 10/1998 | Yajima et al.    | —     | —        |                               |
|                       | AD | 5,232,875          | 8/1993  | Tuttle et al.    | —     | —        |                               |
|                       | AE | 5,649,854          | 7/1997  | Gill, Jr.        | —     | —        |                               |
|                       | AF | 5,562,524          | 10/1996 | Gill, Jr.        | —     | —        |                               |
|                       | AG | 5,329,732          | 7/1994  | Karlsrud et al.  | —     | —        |                               |
|                       | AH | 5,554,064          | 9/1996  | Brievogel et al. | —     | —        |                               |
| <i>AO</i>             | AI | 5,885,138          | 3/1999  | Okumura et al.   | —     | —        |                               |

  

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| <i>AO</i><br>↓           | AJ        | 82/03038           | 9/1982  | WO      | —     | —        |                       |
|                          | AK        | 874 309 A1         | 10/1998 | Europe  | —     | —        |                       |
|                          | AL        | 9-232257           | 9/1997  | JP      | —     | —        |                       |
|                          | AM        | 7-135192           | 5/1995  | JP      | —     | —        |                       |
|                          | <i>AO</i> | AN                 | 8-64562 | 3/1996  | JP    | —        | —                     |

  

| OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.) |    |   |
|--|----|---|
| <i>AO</i>  | AO | U.S. Patent Application No. 09/341,882, filed September 8, 1999, entitled "Polishing Apparatus", by Seiji KATSUOKA et al., located in Group Art Unit 3723.  |
| <i>AO</i>  | AP | U.S. Patent Application No. 09/518,958, filed March 3, 2000, entitled "Polishing Apparatus", by Kunihiko SAKURAI et al., located in Group Art Unit 3723, a C-I-P of application Serial No. 09/476,905, filed January 3, 2000. |
|  | AQ |   |

  

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| AD                   | AA | 5,616,063          | 4/1997  | Okumura et al.   | —     | —        |                               |
|                      | AB | 3,906,678          | 9/1975  | Roth             | —     | —        |                               |
|                      | AC | 3,913,271          | 10/1975 | Boettcher        | —     | —        |                               |
|                      | AD | 5,718,618          | 2/1998  | Guckel et al.    | —     | —        |                               |
|                      | AE | 5,989,107          | 11/1999 | Shimizu et al.   | —     | —        |                               |
|                      | AF | 5,618,227          | 4/1997  | Tsutsumi et al.  | —     | —        |                               |
|                      | AG | 3,659,386          | 5/1972  | Goetz et al.     | —     | —        |                               |
|                      | AH | 4,680,893          | 7/1987  | Cronkhite et al. | —     | —        |                               |
| AD                   | AI | 5,551,986          | 9/1996  | Jain             | —     | —        |                               |

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| AD | AJ | 5-285807           | 11/1993 | JP      | —     | —        |                       |  |
|    | AK | 807 492 A2         | 11/1997 | Europe  | —     | —        |                       |  |
|    | AL | 10-256201          | 9/1998  | JP      | —     | —        |                       |  |
|    | AM | 5-74749            | 3/1993  | JP      | —     | —        |                       |  |
| AD | AN | 2-208931           | 8/1990  | JP      | —     | —        |                       |  |

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| AD                   | AA | 5,951,373          | 9/1999  | Shendon et al.  | —     | —        |                               |
|                      | AB | 5,839,947          | 11/1998 | Kimura et al.   | —     | —        |                               |
|                      | AC | 6,050,884          | 4/2000  | Togawa et al.   | —     | —        |                               |
|                      | AD | 6,293,855          | 9/2001  | Yoshida et al.  | —     | —        |                               |
| AD                   | AE | 5,498,199          | 3/1996  | Karlsrod et al. | —     | —        |                               |
|                      | AF |                    |         |                 |       |          |                               |

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| AD | AG | 4-69147            | 3/1997  | JP      | —     | —        |                       |  |
|    | AH | 0 517 594          | 12/1992 | Europe  | —     | —        |                       |  |
|    | AI | 0 684 634          | 11/1995 | Europe  | —     | —        |                       |  |
|    | AJ | 2-267950           | 11/1995 | JP      | —     | —        |                       |  |
|    | AK | 64-42823           | 2/1989  | JP      | —     | —        |                       |  |
|    | AL | 0761387A1          | 3/1997  | EP      | —     | —        |                       |  |
|    | AM | 0807492A2          | 11/1997 | EP      | —     | —        |                       |  |
|    | AN | 0928662A2          | 7/1999  | EP      | —     | —        |                       |  |
| AD | AO | 0793261A2          | 9/1997  | EP      | —     | —        |                       |  |

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